

**SECTION 2. FORMS PTO/SB/08A and 08B (formerly Form PTO-1449)****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Hambrecht, et al Attorney Docket: 2955/107  
 Serial No: 10/632,818 Art Group Unit: 3691  
 Date Filed: Aug. 4, 2003 Examiner Name: Campen, Kelly Scaggs  
 Invention: Auction System and Method for Pricing and Allocation During Capital Formation

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

U.S. PATENT DOCUMENTS					
Examiner Initials	Reference Number	Document Number	Issue Date	Inventor	Class/Subclass
ET	US 7,062,460	06/2006	Grownay, et al.	<del>705/37</del>	
EU	US 6,317,727	11/2001	May, R. Raymond	<del>705/36R</del>	
EV	US 6,285,989	09/2001	Shoham, Y.	<del>705/37</del>	
EW	US 6,006,201	12/1999	Berent, et al.	<del>705/37</del>	
EX	US 5,890,138	03/1999	Godin, et al.	<del>705/24</del>	
EY	US 5,835,896	11/1998	Fisher, et al.	<del>705/37</del>	

OTHER DOCUMENTS			
Examiner Initials	Reference Number	Author	Title of Article, Title of Journal, Volume Number, Page Numbers, Date
EZ		Cramton, Peter	"Ascending Auctions," European Economic Review, 42:3-5 (1998) 745-756
FA		Lengwiler, Yvan	"The Multiple Unit Auction with Variable Supply," Finance and Economics Discussion Series, 1998-28 Board of the Governors of the Federal Reserve System (U.S.)
FB			"What is Proxy Bidding?" pp 1-3, WiseGEEK, available @ <a href="http://www.wisegEEK.com/what-is-proxy-bidding.html">http://www.wisegEEK.com/what-is-proxy-bidding.html</a> , last accessed 7/2/2007
FC			"Tips for Buyers," pp 1-3, E-bay, 1013/1999, available @ <a href="http://web.archive.org/web/19991013024945/pages.ebay.com/help/buyerguide/bidding-tips.html">http://web.archive.org/web/19991013024945/pages.ebay.com/help/buyerguide/bidding-tips.html</a> , last accessed 7/24/2007

Examiner Signature: \_\_\_\_\_ /Kelly Campen/

Date Considered: \_\_\_\_\_ 03/31/2008

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if *not* in conformance and not considered. Include copy of this form with next communication to applicant.

(Information Disclosure Statement--page 4 of 7)

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /K.C./